

## **Exhibit D**

### **Prior Emails Sent to SDFSC County Grantees**

To: Safe and Drug Free Schools and Communities (SDFSC) County Grantees

From: Prevention Services Division County Analysts

RE: Update on Grant Processes and Issues

Date: July 22, 2003

The following information is being provided to counties that have one or more SDFSC grants to respond to issues or questions that were raised at the May 2003 training, or that have emerged as the grant implementation process has progressed.

1. Revision Process. Counties may make changes (also known as amendments in contract language) to their grant agreements. For grants, changes are called "revisions". If changes are needed to your grant agreement, please review the information on Attachment A for guidance on whether you need a formal revision or whether the changes can be done informally. We have attempted to make this process as easy as possible while maintaining consistency with SDFSC and state requirements.
2. Rollover. Round 1 of the SDFSC grantees will be allowed to utilize funds that are not expended in Year 1 because of delays in getting the grant agreements into place. Funding unspent during the first budget period will carryover into Year 4. Year 4 will be funded at 75% of the Year 3 funding level. If the Year 4 budget (75% plus any carryover) is more than 100 percent of Year 3 funding, the excess over 100 percent will be carried over to the fifth year budget period. Because we do not anticipate similar delays for Round 2, Round 2 grantees will be expected to expend their grant awards according to the timeframe negotiated through the grant agreement.
3. Strategic Planning (Round 1 counties). There is no set format for the strategic plan required by Round 1 grantees; many planning formats are acceptable and should reflect your local planning needs and the goals of your project. The information that should be included as part of the plan was outlined in the RFA for Round 1 and as follows:
  - one-, three-, and five-year project goals, strategies and objectives;
  - measurable outcomes pertaining to the youth and communities served;
  - the process by which the AOD office, LEAs, parents, youth, and other community partners work together in a continuous planning and implementation relationship;
  - a plan for continuing successful programs and the criteria for determining how successful programs will be maintained.

The proposed format must be reviewed and approved by your PSD county analyst. TA and training on strategic planning is available through EMT. Please contact EMT at (916) 983-9506 for more information.

4. Compliance with the Principles Of Effectiveness (POEs). Many questions have been raised about this part of the grant. The guidance that we can provide is to reiterate several statements made at the May 2003 training. First, grantees are not required to choose a program off of a list. You also do not have to stop your program efforts to switch to another program from a list. Your grant program was chosen for funding as a result of a process that complied with the grant's competitive bid requirement, and was consistent with the goals and objectives of SDFSC funding for the Governor's portion. Therefore, you should be proceeding with program implementation according to your approved workplan's stated goals and objectives.

Some grantees have also raised concerns about how to know if their program is science-based, a key element for programs funded with SDFSC dollars. Significant effort has been made to understand how this requirement applies to our grantees, and how compliance translates into practical guidance for programs that are in the implementation process. Our interpretation of this requirement is that programs that are based on a sound theoretical foundation and utilize strategies that are based in research are an acceptable means of complying with this requirement. The program must also be consistent with all other POEs, such as be based on objective data and performance measures, include parental and youth involvement, among others. Aside from the focus on the POEs, programs should be implemented with attention to fidelity, meaning that program activities should be appropriate for the target population, and be designed to achieve the ATOD and violence prevention outcomes that contribute to a safe and healthy learning environment.

Assistance in reviewing these program components for consistency with grant requirements is now available through our technical assistance contractor, EMT Group. We have already initiated a collaborative process of analyzing grantee workplans, logic models, and research basis for programs to identify common areas that could be strengthened. We hope to gain further insight into your programs through continued communication through the PSD county analysts, along with our site visits. Our intent is to work collaboratively with all programs in an ongoing effort to be in compliance with the grant, and to continuously seek clarification from the United States Department of Education (USDOE) and the California Department of Education (CDE) as needed. As we receive information, we are committed to sharing it with the grantees in a timely manner.

In addition to the current technical assistance available from EMT, the Department has made additional resources available to supporting the SDFSC county grants through contract specifically dedicated to providing training and technical assistance to the 43 county grants. The RFP for this contract was

released on June 30, 2003 and proposals are being solicited for funding. We anticipate that a contract will be in place in October 2003.

**It is also important that grantees be informed and knowledgeable about the grant requirements that apply to programs funded by SDFSC. Pertinent information is available on ADP's website and includes grant Terms and Conditions, the Guidance for State and Local Program Implementation, and the Education Department Guide to Administrative Requirements (EDGAR).**

As always, please contact your county analyst if you have questions or need more information about technical assistance or grant compliance issues.

Resources:

EMT Group (916) 983-9506  
Prevention Services Division (916) 324-4398  
[www.adp.ca.gov](http://www.adp.ca.gov)  
[www.emt.org](http://www.emt.org)

To: Safe and Drug Free Schools and Communities Grantees  
From: Prevention Services Division County Analysts  
Date: November 20, 2003  
RE: Various Reminders and Key Dates

The following communication is being sent out to all 43 Safe and Drug Free Schools and Communities grantees funded through the Department of Alcohol and Drug Programs' Prevention Services Division (PSD). The information contained below is divided into a section specific to Round 2 grantees, Round 1 grantees, and then information that pertains to both rounds.

## **1. Round 2 Grantees:**

- a) Initial Training: There will not be a formal "in-person" training for counties that have received grants for Round 2. Instead, a general orientation about the grant requirements will occur via telephone conference call. The information presented will be an overview of grant reporting and invoicing requirements and information about technical assistance resources that are available to you as a SDFSC grantee. Participants on the call will include your assigned county analyst and a representative from our technical assistance (TA) provider, Center for Applied Research Solutions (CARS), formerly known as EMT. At that time, you will have the opportunity to ask questions and schedule a call to discuss and assess technical assistance needs. We anticipate scheduling these calls sometime during the week of December 8, 2003. **Round 2 grantees will receive additional information on the details of the training via email.**

## **2. Round 1 Grantees:**

- a) Strategic Plan. A strategic plan is a required deliverable for Round 1 grantees<sup>1</sup> and is due on January 31, 2004 along with the 4<sup>th</sup> quarter report.

To restate the guidance provided in the July 22, 2003 memo, there is no set format that is being required for this plan and flexibility in fulfilling this grant requirement will be allowed. The elements that should be addressed in the plan include, but are not limited to, the following:

- one-, three-, and five-year project goals, strategies and objectives;
- measurable outcomes pertaining to the youth and communities served;
- the process by which the AOD office, LEAs, parents, youth, and other community partners work together in a continuous planning and implementation relationship;
- a plan for continuing successful programs and the criteria for determining how successful programs will be maintained.

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<sup>1</sup> Request for Application for Round 1 and July 22, 2003 memo to counties.

- b) Year 1 Annual Report. The Year 1 Annual Report requirement for Round 1 grantees is being waived at this time due to the need to receive revised NOGAs and workplans from these grantees. We will revisit this requirement over the next several months to determine if an annual report is still needed for ADP's reporting requirements to the United States Department of Education.

### 3. **Both Round 1 and 2 Grantees:**

- a) Technical Assistance. Many grantees have already utilized the strategic planning technical assistance and training services available from CARS. This assistance is still available for grantees. Please contact CARS at (916) 983-9506 for more information and to discuss your training needs. As a reminder, please ensure that your county analyst reviews and approves your plan.

Technical assistance in other areas is available to all SDFSC grantees through a dedicated TA contract with CARS. As the first step in this process, calls are made to every grant project director. The purpose of these calls is to assess any TA and training needs during the initial grant period, with a special focus on meeting the complying with the Principles of Effectiveness and other grant requirements.

- a) Communication systems and processes. It is essential that you maintain a schedule of regular and open communication with your county analyst. If you haven't already, please discuss with your analyst the method that will work for both of you – email and/or regular phone calls. This is critical due to the reporting requirements that are part of this grant and the need for the analyst to adequately monitor the progress of the grant. Please remember to contact your county analyst when:

- You anticipate that you may need to discuss a possible extension of key grant deadlines such as submission of quarterly reports and invoices.
- Your workplan or budget needs to be revised.
- Technical assistance has resulted in recommended changes to your program goals, objectives or deliverables.

- b) Contacts attached. A list of contacts for your grant is attached. Please review and provide modifications or updates to your analyst by **December 1, 2003**, keeping in mind that the person identified as the primary contact person will be the one who will be contacted for issues related to the grant, including programmatic issues and technical assistance needs.

- c) Timely submission of reports and invoices. Please remember to submit reports on time even if you have a revision in progress or have other delays. This is particularly important for the final quarter reports (due January 31, 2004) as we need to prepare budget information on rollover of funds (for Round 1 grantees only).

As always, if you have questions or need more information, please contact your PSD county analyst.

Attachments:

1. County contact list
2. Key Upcoming Deadlines for SDFSC Grantees

Resources:

Center for Applied Research Solutions (CARS) (916) 983-9506

Prevention Services Division (916) 324-4398

[www.adp.ca.gov](http://www.adp.ca.gov)

[www.emt.org](http://www.emt.org)